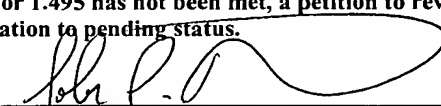


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| FORM PTO-1390 (REV. 1-98) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | ATTORNEY'S DOCKET NUMBER 23077/09265 |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | | U.S. APPLICATION NO. (If known, see 37 CFR 1.5) Not yet known 10/501378 |
| INTERNATIONAL APPLICATION NO. PCT/EP02/14002 | INTERNATIONAL FILING DATE 10 December 2002 (10/12/02) | PRIORITY DATE CLAIMED 17 January 2002 (17/01/02) and 15 February 2002 (15/02/02) | |
| TITLE OF INVENTION Fuzzy Preferences In Multi-Objective Optimization (MOO) | | | |
| APPLICANT(S) FOR DO/EO/US Yaochu Jin and Bernhard Sendhoff | | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | | |
| 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)). a. <input type="checkbox"/> is attached hereto (required only if not transmitted by the International Bureau). b. <input checked="" type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 145(d)(4). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)). a. <input type="checkbox"/> are attached hereto (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). Items 11 to 20 below concern document(s) or information included: 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input type="checkbox"/> A preliminary amendment. 14. <input type="checkbox"/> An Application Data Sheet Under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825. 18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 20. <input checked="" type="checkbox"/> Other items or information: Preliminary Amendment, transmittal letter, copy of the published international application, postcard and check. | | | |

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| U.S. APPLICATION NO. (if known, see 37 CFR 1.5) Not yet known 10/52378 | INTERNATIONAL APPLICATION NO. PCT/EP02/14002 | ATTORNEY'S DOCKET NUMBER 23077-09265 |
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| 21. <input checked="" type="checkbox"/> The following fees are submitted: | | | | CALCULATIONS PTO USE ONLY | |
| BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)): | | | | | |
| Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO..... | | | | \$1080.00 | |
| International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO..... | | | | \$920.00 | |
| International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO..... | | | | \$770.00 | |
| International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)..... | | | | \$730.00 | |
| International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)..... | | | | \$100.00 | |
| ENTER APPROPRIATE BASIC FEE AMOUNT = | | | | \$920.00 | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | \$130.00 | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
| Total claims | 10 - 20 = | 0 | x \$18.00 | \$0 | |
| Independent claims | 1 - 3 = | 0 | x \$86.00 | \$0 | |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | + \$290.00 | \$0 | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$1050.00 | |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | \$0 | |
| SUBTOTAL = | | | | \$1050.00 | |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | \$0 | |
| TOTAL NATIONAL FEE = | | | | \$1050.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + | | | | \$0 | |
| TOTAL FEES ENCLOSED = | | | | \$1050.00 | |
| | | | | Amount to be refunded: | \$0 |
| | | | | charged: | \$0 |
| <p>a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>1050.00</u> to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. 19-2555 in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-2555. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p> | | | | | |
| <p>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.</p> | | | | | |
| <p>SEND ALL CORRESPONDENCE TO:</p> <p>John T. McNelis FENWICK & WEST LLP Silicon Valley Center 801 California Street Mountain View, CA 94041 (650) 335-7133 (650) 938-5200</p> | | | | <p> SIGNATURE John T. McNelis NAME 37,186 REGISTRATION NUMBER</p> | |

TRANSMITTAL LETTER TO THE
UNITED STATES RECEIVING OFFICE

| | |
|-------------------------------|-------------------|
| International Filing Date | December 29, 2002 |
| International Application No. | PCT/EP02/14002 |
| Attorney Docket No. | 23077-09265 |

I. ☒ Certificate of Mailing

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| EV442676243US |
| Express Mail Mailing Number (optional) |

DT03 Rec'd PCT/PTO 13 JUL 2004

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| 13 July 2004 |
| Date |

I hereby certify that this correspondence, including the enclosures identified below, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents & Trademarks, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown above. If the Express Mail Mailing Number is filled in above, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.

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|  |
| Signature |

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|-----------------------|
| John T. McNelis |
| Typed or printed name |

II. ☐ New International Application

| | | |
|-------|--|--|
| TITLE | | Earliest priority date (Day/Month/Year) |
|-------|--|--|

SCREENING DISCLOSURE INFORMATION: In order to assist in screening the accompanying international application for purposes of determining whether a license for foreign transmittal should and could be granted and for other purposes, the following information is supplied. (Note: check as many boxes as apply):

- A. ☐ The invention disclosed was **not** made in the United States.
 B. ☐ There is no prior U.S. application relating to this invention.
 C. ☐ The following prior U.S. application(s) contain subject matter which is related to the invention disclosed in the attached international application.
 (NOTE: priority to these applications may or may not be claimed on form PCT/RO/101 (Request) and this listing does not constitute a claim for priority)

| | | | |
|-----------------|--|-------------|--|
| application no. | | filing date | |
| application no. | | filing date | |

- D. ☐ For foreign filing licenses purposes, the present international application ☐ contains the same subject matter as ☐ contains less subject matter than, that found in the prior U.S. application(s) identified in paragraph C above.
 E. ☐ The present international application ☐ contains additional subject matter not found in the prior U.S. application(s) identified in paragraph C above. The additional subject matter is found on pages and ☐ DOES NOT ALTER ☐ MIGHT BE CONSIDERED TO ALTER the general nature of the invention in a manner which would require the U.S. application to have been made available for inspection by the appropriate defense agencies under 35 U.S.C. 181 and 37 CFR 5.1. See 37 CFR 5.15.

III. ☐ A Response to an Invitation from the RO/US. The following document(s) is(are) enclosed:

- A. ☐ A Request for An Extension of Time to File a Response
 B. ☐ A Power of Attorney (General or Regular) (2)
 C. ☐ Replacement pages:

| | | | | | |
|-------|--|-----------------------------|-------|--|-----------------|
| pages | | of the request (PCT/RO/101) | pages | | of the figures |
| pages | | of the description | pages | | of the abstract |
| pages | | of the claims | | | |

- D. ☐ Submission of Priority Documents

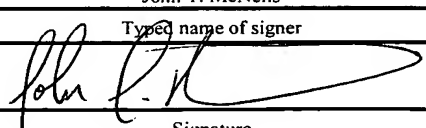
| | | | |
|-------------------|--|-------------------|--|
| Priority document | | Priority Document | |
|-------------------|--|-------------------|--|

- E. ☐ Fees as specified on PCT/RO/102 (January 2003)

IV. ☐ A Request for Rectification under PCT Rule 91 ☐ A Petition ☐ A Sequence Listing DisketteV. ☒ Other (please identify):

Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371; Check of \$1050.00; Postcard, Preliminary Amendment.

The person signing
this form is the:

| | |
|---|---|
| <input type="checkbox"/> Applicant | John T. McNelis |
| <input checked="" type="checkbox"/> Attorney/Agent (Reg. No.) 37,186 | Typed name of signer |
| <input type="checkbox"/> Common Representative |  Signature |